

WATER WASTEWATER COMMON PREAPPLICATION PROCESS

General Requirements: Applicants anticipating the use of federal and/or state administered funds to finance water or sanitary sewer improvements through the WWAC process must complete and submit an original and four (4) copies of the preapplication, consisting of the attached two page form and a facility plan or preliminary engineering report (see attached guide), to one of the Water Wastewater Advisory Committee (WWAC) agencies. The WWAC agencies include:

Rick Bay
Department of Environmental Quality
1200 "N" Street, Suite 400
P.O. Box 98922
Lincoln, NE 68509-8922

Jason Seamann
Department of Economic Development
301 Centennial Mall South
P.O. Box 94666
Lincoln, NE 68509-4666

Steven T. McNulty
Department of Health & Human Services
Regulation & Licensure
301 Centennial Mall South
P.O. Box 95007
Lincoln, NE 68509-5007

Denise M. Brosius-Meeks
USDA Rural Development
Room 152, Federal Building
100 Centennial Mall North
Lincoln, NE 68508

Review Procedure – Each preapplication will be reviewed by the WWAC as follows:

- 1) An original preapplication and four (4) copies are submitted to one of the WWAC agencies.
- 2) Upon receipt, the agency distributes copies to the other WWAC members. Incomplete preapplications will be returned.
- 3) The WWAC will review the preapplication within 60 days after the submission. Meetings will be held on the third Tuesday of each month in the City of Lincoln.
- 4) The WWAC may request the applicant attend a meeting (or the applicant may request a meeting) with the WWAC to discuss the project scope, including technical aspects and alternatives considered. Project funding sources and associated application requirements can be discussed along with the various routine program or unique project requirements. This meeting can be held face to face, by video conference, or by teleconference and should include appropriate program staff, a community representative and the project engineer.
- 5) Following its consideration, the WWAC will reply to the applicant by letter. For a suitable preapplication, the WWAC will recommend the preapplication be accepted and outline the logical funding sources to whom a full application should be submitted. The WWAC may, in the same or separate letter, list pertinent comments regarding technical, operational, or financial aspects of the project(s). Substantive comments by the WWAC must be resolved before an application can be recommended for acceptance. Each agency on the WWAC will receive a copy of any WWAC correspondence.
- 6) Each funding agency will follow its own full application process. Applicants seeking funding for the same project from multiple agencies must submit a full application to the particular agencies.

Applications will normally not be funded until the following actions have been taken:

- If the project includes the development of a well field the water quality and production capabilities of this site will have been confirmed through the development of a test hole.
 - The applicant will need to be able to provide assurance that they can secure the necessary land for the project. This assurance would include deeds, purchase agreements, leases, or a resolution by the Board of Trustees on their intent to proceed with condemnation.
- 7) If a full application varies significantly from the preapplication, or if the facts involving a project have changed such that the feasibility of the proposed solution warrants further investigation, any individual WWAC agency may request the full WWAC to review the project again.

WATER/WASTEWATER PREAPPLICATION **FOR STATE AND/OR FEDERAL ASSISTANCE**

Legal Applicant (City, County, SID):	
Federal Tax Identification Number:	
PWS # for Water Preapplications:	NPDES # for Wastewater Preapplications:
Representative/Title:	
Address:	
City/Zip Code:	
Telephone/Fax:	
County:	
Preapplication Preparer:	
Address:	
City/Zip Code:	
Telephone/Fax:	
Engineering Firm:	
Engineering Consultant:	
Address:	
City/Zip Code:	
Telephone/Fax:	

[illegible]

(Please attach any preliminary engineering reports or facilities plans which have been completed to date)

<p>User Information:</p> <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 30%;"></th> <th style="width: 35%; text-align: center;">Water</th> <th style="width: 35%; text-align: center;">Wastewater</th> </tr> <tr> <td>Number of residential users:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td colspan="3">Non-Residential</td> </tr> <tr> <td>Number of ¾"meters:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of 1" meters:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of 1½" meters:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of 2" meters:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of 3" meters:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Number of 4" meters:</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>Other</td> <td>_____</td> <td>_____</td> </tr> </table> <p>NOTE: Indicate water meter sizes for Non-Residential wastewater users</p>		Water	Wastewater	Number of residential users:	_____	_____	Non-Residential			Number of ¾"meters:	_____	_____	Number of 1" meters:	_____	_____	Number of 1½" meters:	_____	_____	Number of 2" meters:	_____	_____	Number of 3" meters:	_____	_____	Number of 4" meters:	_____	_____	Other	_____	_____	<p>Does water/wastewater system currently use meters (circle one):</p> <p style="text-align: center;">YES NO</p> <p>Nonmetered Water Rates _____/mo</p> <p>Nonmetered Sewer Rates _____/mo</p> <p>Metered Water Rates _____/mo for _____ gallons</p> <p style="padding-left: 40px;">Overage charges _____</p> <p>Metered Sewer Rates _____/mo for _____ gallons</p> <p style="padding-left: 40px;">Overage charges _____</p>
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Number of 3" meters:	_____	_____																													
Number of 4" meters:	_____	_____																													
Other	_____	_____																													

COST CLASSIFICATION	ESTIMATED TOTAL COST
1. Administrative and legal expenses	
2. Land, structures, right-of-ways, appraisals, etc.	
3. Relocation expenses and payments	
4. Architectural and engineering fees	
5. Project inspection fees	
6. Site work, demolition and removal	
7. Construction	
8. Equipment	
9. Miscellaneous	
10. SUBTOTAL (sum of lines 1-9)	
11. Contingencies	
12. SUBTOTAL	
13. Less project (program) income	
14. TOTAL PROJECT COSTS	

<p>The undersigned representative of the applicant certifies that the information contained herein and the attached statements, exhibits, and reports, are true, correct and complete to the best of my knowledge and belief.</p>	
<p>Applicant Signature: _____</p>	<p>Date: _____</p>
<p>Preapplication Preparer Signature: _____</p>	<p>Date: _____</p>

FACILITY PLAN OR PRELIMINARY ENGINEERING REPORT **FOR WASTEWATER OR WATER FACILITIES**

GENERAL. The following information must be included in the Facility Plan or Preliminary Engineering Report. These reports must be signed, sealed and dated by a professional engineer registered in Nebraska. Additional planning requirements for SRF funded projects are in Title 131 Rules and Regulations for the Wastewater Treatment Facilities and Drinking Water Assistance Programs, Nebraska Department of Environmental Quality.

- A. **Area to be served.** Describe – give natural boundaries, major obstacles, elevations, need for facilities, population demographics, and other pertinent information. Use maps, photographs, and sketches.
- B. **Existing Facilities.** Describe – include physical condition, capacity, and inadequacy for continued use of facilities now owned by the applicant. Provide the basis for a strong needs statement.
- C. **Alternatives.** Evaluate and rank proposed design alternatives. Evaluations shall include a cost-effectiveness analysis on the alternatives including a 20-year present worth of annual operation and maintenance costs. In addition, an engineering evaluation including reliability, ease of use, and appropriate wastewater or water treatment technology for the community's management capability shall be conducted. Anticipated environmental impacts shall also be compared.
- D. **Proposed facilities and services.**
 - 1) General description of the proposed facility, including design criteria utilized. Basic hydraulic calculations shall be listed in tabular form. Also materials and any design problems shall be discussed such as subsurface rock, high water table or others which may effect cost of construction or operation of the facility.
 - 2) Land – include amount required, locations, and alternate locations. Also easements, permits, or other evidence of rights-of-way meeting Departments of Health & Human Services, Environmental Quality, and other agency requirements.
 - 3) Environmental Impacts – Include discussion of direct and indirect impacts such as floodplains, wetlands, prime farmland, endangered species, historic preservation, etc. The applicant should have sent letters to the consulting agencies. This early start of the NEPA environmental process reduces processing time.
- E. **Preliminary Design Criteria for Drinking Water Projects (specific to Preliminary Engineering Reports).**
 - 1) CDBG & SRF monies are directed to be expended for human consumption and/or for health related issues. Upsizing wells, storage, and distribution to mainly meet fire flows or primarily serve residential & industrial future growth or agricultural irrigation & livestock purposes will not be considered as eligible under the program rules and those uses must be separated from the project and funded through other lenders.
 - 2) Details should be provided for determining average daily demand (residential, commercial, leakage, & public use defined). The community's annual average gallons per capita per day (3 years data preferred) may be used if the user rates are based on metered usage OR the use of other published engineering design guidelines may be submitted for consideration in designing the proposed project.
 - 3) Peak period demands for daily and hourly should reflect the same conditions as described above.
 - 4) Storage facilities should be sized using the Recommended Standards for Water Works guidelines (except for fire flows as stated above) OR the use of other published engineering design guidelines may be submitted for consideration in designing the proposed project.
 - 5) If the project involves the development of a new well field site the following information will need to be provided:
 - Site approval by the Department of Health & Human Services Regulation & Licensure.
 - Data which supports the development of the well in this area such as geological surveys, water quality and production data (gallons per minute, specific capacity, etc.) on wells in adjoining areas, data from the Department of Natural Resources or Natural Resource District, or water quality and production results from a test hole(s) drilled on site.
- F. **Planning Criteria for Wastewater Projects (specific to Facility Plans).**
 - 1) SRF monies are directed for municipally owned wastewater facility needs. Projects of a speculative nature or primarily for industrial capacity are not normally funded.
 - 2) Details should be provided for determining the average daily, peak hour and maximum daily wastewater flows to the POTW. Actual flow monitoring data should be gathered over a sufficient period to capture a wet weather event to analyze for infiltration and inflow from the sewer system. Flows in excess of 120 gpcd indicating ground water infiltration or 275 gpcd during a storm event should require the completion of a Sanitary Sewer Evaluation Survey.

This further study should analyze which is more cost effective; to transport and treat the excess I&I, or if sewer rehabilitation would be cost effective in removing the excess I&I. Winter quarter potable water usage should be analyzed and compared to the wastewater flow data to check if exfiltration is occurring in the collection system. Unsewered areas within the planning jurisdiction should be identified. A cost-effectiveness analysis should be conducted on eliminating existing septic tank systems with sewer extensions.

- 3) If commercial or industrial contributions are received by the POTW then flow proportioned composite sampling should be conducted measuring the daily pounds of Ammonia, CBOD, and TSS and their peak monthly values.
- 4) Receiving stream information along with the current or proposed NPDES discharge permit limitations determined and disinfection and any industrial pretreatment considerations analyzed.
- 5) Evaluation of the treatment alternatives should include conventional as well as any alternative or innovative technology including regionalization and sludge disposal alternatives for the 20 year design average and peak wastewater flows. Design criteria shall follow the current design standards as required by NDEQ. A cost effectiveness monetary analysis will be required on the principal alternatives as outlined in paragraph C above, along with a engineering evaluation of the following factors: a) reliability, b) energy use, c) revenue generating alternatives, d) process complexity, e) O&M considerations, and f) environmental impacts.

G. **Cost Estimate.** Include development, land and rights, legal, engineering, interest, equipment, contingencies, refinancing and other.

H. **Annual Operating Budget.**

- 1) Income – Include rate schedule and realistic project income.
- 2) Operation and maintenance Costs – In the absence of other data, base annual O&M costs on actual costs of other existing systems of similar size and complexity. Include facts in the report to substantiate operation and maintenance cost estimates. Include salaries, wages, taxes, accounting, legal, interest, utilities, gas-oil-fuel, insurance, repairs and maintenance, supplies, office expenses, and miscellaneous.
- 3) Capital improvements.
- 4) Debt repayment and reserve requirements.
- 5) Impact to existing user charges and derivation of proposed rates.
- 6) Provide a copy of the previous 3 years financial history on the operations of the water or sewer fund (whichever is applicable).
- 7) Provide an amortization schedule on the existing indebtedness held on the system.

I. **Maps, drawing, sketches, and photographs.**

- 1) Maps – Show locations, boundaries, elevations, population distribution, existing and proposed systems, right-of-way, and land ownership. For wastewater lagoons, distance to individual or municipal drinking water wells and habitation within a quarter mile radius is to be shown.
- 2) Drawings and sketches. Show preliminary treatment design and layout, elevations.

J. **Conclusions, recommendations, and implementation schedule.**

- 1) Readiness to proceed shall be evaluated including land acquisition needs and likely land acquisition method of either negotiation or eminent domain.
- 2) A timetable with the following milestones shall be included:
 - Securing land rights.
 - Completion of test hole drilling and testing.
 - Completion of environmental review process.
 - Submission of loan/grant application(s) to appropriate agency(ies).
 - Completion of final plans and specification.
 - Start and completion of construction.